



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Ballard

Serial No. 09/454,492

Group Art Unit: 3624

Filed: December 6, 1999 Examiner: Weisberger

For: Remote Image Capture with Centralized Processing and Storage

## SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Dear Sir:

Further in response to the Office Action mailed October 8, 2002, and as mentioned in the Response to Requirement for Information mailed December 17, 2003, Applicant wishes to bring certain items of information to the attention of the Patent and Trademark Office relative to this application.

These items of information are listed on the enclosed PTO/SB/08.

A copy of each reference that was not previously of record in the parent to this application is enclosed. Each reference is in the English language. As such, no additional statement of relevance is provided in this paper.<sup>1</sup>

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1 37 C.F.R. §1.98(a)(3).

Because this information is submitted after receipt of a first Office Action on the merits, but before a final rejection or allowance, payment of the fee due under 37 C.F.R. §1.17(p) is enclosed, in the form of our firm check, and the enclosed Fee Transmittal (PTO/SB/17), which authorizes any additional fee to be charged to deposit account 01-1615.2

Many of these items of information were brought to the attention of the assignee by adverse parties in litigation, relative to patents through which this application claims priority. The relevant lawsuits were specified in the Response to Requirement for Information mailed by the undersigned on December 17, 2003. In addition, to completely and fully comply with its duty of candor and good faith, and to completely and fully serve the public interest by ensuring that the Patent and Trademark Office is fully aware of and can evaluate the teachings of all information material to patentability of the claims in this case,3 Applicant submits the following documents filed by various ones of the defendants in the ongoing litigation, specifying their assertions regarding claims of the patents in suit that are invalid:

- 1. "Preliminary Invalidity Contentions of Defendants J.P. Morgan Chase & Co. and JPMorgan Chase Bank", in DataTreasury Corp. v. J.P. Morgan Chase & Co., et al., Cause No. 502CV124, In the United States District Court for the Eastern District of Texas, Texarkana Division.
- 2. "Defendants Ingenico S.A. and Ingenico, Inc.'s Preliminary Invalidity Contentions", in DataTreasury Corp. v. Ingenico S.A., et al., Cause No. 502CV095, In the United States District Court for the Eastern District of Texas, Texarkana Division
- 3. "Defendants' Preliminary Invalidity Construction Pursuant to Patent Local Rules 3-3 and 3-4", in DataTreasury Corp. v. First Data Corporation, et al., Cause No. 502CV094, In the United States District Court for the Eastern District of Texas, Texarkana Division

de

<sup>237</sup> C.F.R. §1.97(c).

<sup>3</sup> MPEP \$2001.06(c).

By citing these items of information, Applicant does not admit that any of this information is, or is considered to be, material to the patentability of any of the claims of this application.<sup>4</sup>

Consideration of this information in this application is respectfully requested.

Respectfully submitted,

Rodney M. Anderson Registry No. 31,939 Attorney for Applicant

Anderson, Levine & Lintel, L.L.P. 14785 Preston Road, Suite 650 Dallas, Texas 75254 (972) 664-9554

January 13, 2004

<sup>4 37</sup> C.F.R. §1.97(h).

3624

Approved for use through 07/31/2006 Office 05/41/2006 Office 05/41

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Effective 10/01/2003. Patent fees are subject to annual revision		First	Name	d Inver	entor Ballard
Applicant claims small entity status. See 37 CFR 1,27		Exam	niner N	ame	Weisberger
Applicant claims small entity status. See 37 CFR 1.27		Art U	nit		3624
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Deposit Account Anderson, Levine & Lintel	1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet
Name	1053	130	1053	130	
The Director is authorized to: (check all that apply)  Charge fee(s) indicated below  Charge fee(s) indicated below	1812	2,520	1812		For filing a request for ex parte reexamination
Charge any additional fee(s) or any underpayment of fee(s)	1804	920*	1804	920*	* Requesting publication of SIR prior to Examiner action
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1001 770 2001 385 Utility filing fee	1255	2,010	2255	1,005	5 Extension for reply within fifth month
1002 340 2002 170 Design filing fee	1401	330	2401	165	5 Notice of Appeal
1003 530 2003 265 Plant filing fee	1402	330	2402	165	5 Filing a brief in support of an appeal
1004 770 2004 385 Reissue filing fee	1403	290	2403	145	5 Request for oral hearing
1005 160 2005 80 Provisional filing fee		1,510	1451	1,510	Petition to institute a public use proceeding
SUBTOTAL (1) (\$) 0	1452	110	2452	55	5 Petition to revive - unavoidable

1453 1,330 2453 665 Petition to revive - unintentional 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE 1501 1,330 2501 665 Utility issue fee (or reissue) Extra Claims 1502 480 240 Design issue fee Total Claims -20\*\* = 1503 2503 640 320 Plant issue fee Independent 1460 130 1460 130 Petitions to the Commissioner Multiple Dependent 1807 50 50 Processing fee under 37 CFR 1.17(q) arge Entity Small Entity 1806 180 1806 180 Submission of Information Disclosure Stmt Fee Fee Code (\$) Fee Description Code (\$) 40 Recording each patent assignment per 8021 40 8021 property (times number of properties) Claims in excess of 20 1202 18 2202 385 Filing a submission after final rejection (37 CFR 1.129(a)) 1800 770 2809 86 Independent claims in excess of 3 1201 2201 1203 290 2203 145 Multiple dependent claim, if not paid 770 1810 2810 385 For each additional invention to be examined (37 CFR 1.129(b)) 1204 86 2204 \*\* Reissue independent claims 43 over original patent 1801 770 2801 385 Request for Continued Examination (RCE)

 SUBMITTED BY
 (Complete (# applicable))

 Name (Prior/Type)
 Rodney M. Anderson
 Registration No. (Attorney/Agent)
 31,939
 Telephone
 972,664,9554

 Signature
 Date
 13 January 2004

Other fee (specify) \_

\*Reduced by Basic Filing Fee Paid

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900 Request for expedited examination

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of a design application

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file good by the USFTO to proceed, an application. Confidentially is gowered by 35 US.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to compete, including atthering, preparing, and submitting the completed application form to the USFTO. Time will vary depending upon their individual case. Any comments on the amount of time you require to complete this form androis suppleasions for recision; this burder, should be sent to the Chief Informational Config. US. Patent and Trademark. Office, U.S. Patent a

\*\* Reissue claims in excess of 20

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\*\*or number previously paid, if greater: For Reissues, see above

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Complete if Known

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1

***************************************					
Application Number	09/454,492				
Filing Date	Dec. 6, 1999				
First Named Inventor	Ballard				
Art Unit	3624				
Examiner Name	Weisberger				
Attorney Docket Number	DATA PO1CIPDIV				

Examiner Initials*	Cite No. <sup>1</sup>	Document Number  Number-Kind Code <sup>2</sup> (F known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US- 4205780	06-03-1980	Burns et al.	all
		US- 5528705	06-18-1996	Reasoner, Jr. et al.	all
		US- 4321672	03-23-1982	Braun et al.	all
		us- 4404649	09-13-1983	Nunley et al.	all
		US- 4500750	02-19-1985	Elander et al.	all
		US- 4578530	03-25-1986	Zeldler	all
		us- 4912762	03-27-1990	Lee et al.	all
		us- 4922503	05-01-1990	Leone	all
		<sup>US-</sup> 4941125	07-10-1990	Boyne	all
		us- 5054096	10-01-1991	Beizer	all
		<sup>US-</sup> 5170466	12-08-1992	Rogan et al.	all
		US- 5235433	08-10-1993	Clarkson et al.	all
		US- 5287497	02-15-1994	Behera	all
		us- 5321816	06-14-1994	Rogan et al.	all
		us- 5373550	12-13-1994	Campbell et al.	all
		us- 5473143	12-05-1995	Vak et al.	all
		<sup>US-</sup> 5760916	06-02-1998	Dellert et al.	all
		<sup>US-</sup> 5784610	07-21-1998	Copeland, III et al	all
		us- 5790260	08-04-1998	Myers	all

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Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
		Country Code <sup>3</sup> "Number <sup>4</sup> "Kind Code <sup>5</sup> (# known)	MM-DD-YYYY		Or Relevant Figures Appear	T
		WO 97/22060	06-19-1997	Financial	all	
		WO 97/07468	02-27-1997	Citibank, N.A.	all	С
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Examiner Signature	/Richard Weisberger/	Date Considered 07/13/2009

\*EXAMINER: Initial if relevence considered, whether or not citation is in conformance with MPEP 603. Draw line through citation if no in conformance and not considered, in the considered in the considered include copy of this form with next communication to applicant. \*Applicants include citation designation number (citation if not in conformance and not considered in the considered in the conformance and not considered in the considered in the conformance and not considered in the considered in the conformance and not considered in the considere Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)

Sheet 2

Complete if Known						
Application Number	09/454,492					
Filing Date	Dec. 6, 1999					
First Named Inventor	Ballard					
Art Unit	3624					
Examiner Name	Weisberger					
Attorney Docket Number	DATA PO1CIPDIV					

				DOCUMENTS	
Examiner Initials*	No.1	Document Number  Number-Kind Code <sup>2</sup> (F known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		<sup>US-</sup> 5910988	06-08-1999	Ballard	all
		<sup>US-</sup> 5926288	07-20-1999	Dellert et al.	all
		us- 5973731	10-26-1999	Schwab	all
		<sup>US-</sup> 6108104	08-22-2000	Tesavis	all
		<sup>US-</sup> 6145738	11-14-2000	Stinson et al.	all
		<sup>US-</sup> 5168444	12-01-1992	Cukor et al.	all
		us- 5708810	01-13-1998	Kern et al.	all .
		us- 5870725	02-09-1999	Bellinger et al.	all
		US- 5930778	07-27-1999	Geer	all
		<sup>US-</sup> 6115509	09-05-2000	Yeskel	all
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		CA 2131667	06-30-1995	IBM	all	
		EP 0661654-A2	07-05-1995	IBM	all	
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		NON PATENT LITERATURE DOCUMENTS		
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (whe the item (book, magazine, journal, serial, symposium, catalog, etc.), date, publisher, city and/or country where publisher.	age(s), volume-issue	T <sup>2</sup>
		Fisher, M. "IBM, Customers continue work on document image processor." Datamation, Vol. 34, No. 19	10/1/88	
		Friedman, D. "Nixdorf Computer Introduces DCPA Image - A Sophisticated Document Image Processing System with Umque Canabilities." PR Newswire.	8/15/89	
		Kniskern, J. "Engineering a visionary solution." Datamation, Vol. 36, No. 8	4/15/90	
		Banet, B. "Document image processing, 1991: The imaging edge." Seybold Rep. on Publishing Systs, Vol. 20, No. 19	6/24/91	
		Mantel, K. "Notes Gets in the Picture." Datamation.	7/15/92	
		Cooney, M. "Frame relay comes to Computer extenders." Network World	6/28/93	
		Buchok, J. "OCR gets processing credit." Computing Canada, Vol. 19, No. 26	12/20/93	
		Fitch, T. "Check image capture speeds up positive pay reconcilement." Corporate Cashflow.	2/1995	
		Evankovich, S. "Computer earns MCI "Level 1" approval; Computer's industry exclusive native Frame Relay interface passes test for interoperability with MCI's Frame Relay services." Business Wire	4/12/95	

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		NON PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.					
		Marjanovic, S. "Mich. National streamlines imaging with IBM system. (check imaging)." American Banker, Vol. 160, No. 176.	9/13/95				
		"Bank Automation News." Finance & Banking Newsletter, Vol. 9, Iss. 6.	4/2/97				
		Article: "NSSDC's Mass Storage System Evolves" found on the web at URL: http://nssdc.gsfc.nasa.gov/nssdc_news/march95/09_i_behnke_0395.html.	3/1995				
		"Data Compression Over Frame Relay Implementation Agreement,"   downloaded at http://www.frforum.com/5000/Approved/FRF.9/frf9.pdf.	1/22/96				
		"Cisco Partners with AT&T on Network Switch Manufacturing," downloaded at http://www.lucent.com/press/0995/950926.mma.html.	9/26/95	-			
		IBM Systems Journal, Vol. 29, No. 3, 1990 (entire journal)	1990				
		Dinan, Painter, & Rodite, "ImagePlus High Performance Transaction System," IBM Systems Journal, Vol. 29, No. 3, 1990, pp. 421-34.	1990				
		Plesums, et al., "Large Scale Image Systems: USAA Case Study," IBM Systems Journal, Vol. 29, No. 3, 1990.	1990				
		Electronic Imaging '88 - Advanced Printing of Paper Summaries, Vol. 1, Anaheim, California	3/1988				
	×	IBM 3174 Network Processor, description located at http://ecc400.com/ibm/controllers/3)4prod.htm					

	http://ecc400.com/ibm/controllers/314prod.htm		<u> </u>	
Examiner		Date		
Signature		Considered		

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance end not considered, include copy of this form with next communication to epplicent.

1 Applicant's unique citation designation number (cotional). 2 Applicant is to piece a check mark here if English language Translation is attached.

This collection of information is negarited by 37 CFR 19.8. The information is negarited to obtain or retain a beaneity by the public which is to fill (end by the USPTO to process) an application. Confidentially is governed by 35 U.S.C. 122 and 37 CFR 1.1.4. This collection is estimated to take 2 hours to complete, including admiring, preparing, and eutheriting the completed applicant here to the USPTO. There will very depending upon the individual case. Any comments on the organization of the USPTO o

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Substitute for form 1449/DTO		Complete if Known
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INFORMATION DISCLOSURE	Filing Date	Dec. 6, 1999
STATEMENT BY APPLICANT	First Named Inventor	Ballard
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Application Number 09/454,492  INFORMATION DISCLOSURE Filing Date Dec. 6, 1999  First Named Inventor Ballard Art Unit 3624  Examiner Name Weisberger		

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		NON PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No.1						
		Prince, C., "High Volume Data Capture Sans Paper," Bank Systems Technology, p.35.	5/1996	,			
		Schwartz, J., "Banks to Test Imaging for Clearing Checks," Communications Week, p.35.	9/14/92				
		Barhel, M., "NCR and Unisys exchange check images in a pivotal test. (computer makers test compatibility of check imaging systems)," American Banker. Vol. 158. No. 67. p.3(1)	4/8/93				
		Robinson, G., "Universal Card purchases BancTec ImageFIRST system." AT&T News Release.	12/22/92				
		Mazzola, J., "NCR and NYCH to develop image-based check notification system." AT&T News Release.	08/24/92				
1		Stellwag, C. and Bochonko, K., "NCR and Cincinnati Bell offer image processing service." AT&T News Release.	1/11/94	-			
		Griffith, M. and Mazzola, J., "National City, NCR form strategic imaging partnership." AT&T News Release.	11/9/92				
		Mazzola, J. and Hendrickson, L., "NCR deposit processing technology speeds banking operations." AT&T News Release.	12/7/92				
		Mazzola, J. and Hendrickson, L., "Wachovia tests NCR's new imaging item processing system." AT&T News Release.	11/15/91				
8		Mazzola, J., Hendrickson, L. and Galati, G., "NCR signs DSI alliance for imaging statement processing." AT&T News Release.	7/20/92				

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er the Paperwork Reduction Act of 1995, no persons are required to respond to e collection of information unless it contains a valid OMB control numb Complete if Known te for form 1449/PTO Application Number 09/454,492 INFORMATION DISCLOSURE Filing Date Dec. 6, 1999 STATEMENT BY APPLICANT First Named Inventor Ballard Art Unit 3624 (Use as many sheets as necessary) Examiner Name Weisberger

Attorney Docket Number

of

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Examiner

		NON PATENT LITERATURE DOCUMENTS		7
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Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains e valid OMB control number Complete if Known titute for form 1449/PTO P TRADE Application Number 09/454,492 Filing Date INFORMATION DISCLOSURE Dec. 6, 1999 STATEMENT BY APPLICANT First Named Inventor Ballard Art Unit 3624 (Use as many sheets es necessary) **Examiner Name** Weisberger Attorney Docket Number Sheet 17 of 118 DATA.POICIPDIV

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		No1016v4[1].ppt - PowerPoint Presentation - FSTC - Interbank Check Image Project	9/30-10/1/96	
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		NON PATENT LITERATURE DOCUMENTS	
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